

March 25, 2014

CHAIR, ACADEMIC SENATE
DEANS
DEPARTMENT AND PROGRAM CHAIRS
MRU AND ORU DIRECTORS

Re: Issuance of Revised CAPM 402.200, Deferral and Mandatory Review

Dear Colleagues:

I write to issue revised campus academic personnel policy 402.200, Deferral and Mandatory Review. The revised policy is effective July 1, 2014; however, to support a smooth transition and to mitigate the impact on faculty of the change in the timing of mandatory reviews, its implementation will be staged as described below.

Deferrals

Timing of Implementation: All deferrals involving reviews that are scheduled to occur during 2014-15 and beyond will be subject to the revised policy. Deferrals that have already been approved will be grandfathered under the current policy.

Summary of Key Changes:

- Duration of deferral

All deferrals that are requested and approved are for a two-year period. Requests for consecutive deferrals are permissible but may not extend beyond the limit set for Mandatory Review. “Automatic deferrals,” i.e., those deferrals that result from a faculty member’s failure to meet the deadline established for submission of review materials, are for a one-year period.

- Consequences of “automatic deferral”

Faculty who fail to meet the deadline established for submission of materials will be considered not to be in good standing, which may result in the denial of some privileges, such as sabbatical leave, Committee on Research funding, or divisional research support. This is consistent with the current consequences for failing to submit materials for a mandatory review.

Mandatory Reviews

Timing of Implementation: Effective with the 2015-16 review year, candidates who have not been reviewed for five years will be placed on the CALL for mandatory review.

Summary of Key Changes:

- Timing

Mandatory reviews will be required in the fifth year without a review, which brings UCSC into alignment with all other campuses and with systemwide academic personnel policy: “Every faculty member shall be reviewed at least every five years.” (APM 200-0)

- Procedures

All mandatory reviews require, at minimum, discussion of the file by the Bylaw 55 faculty and review by the Committee on Academic Personnel. Additionally, any mandatory review involving advancement in rank, step, or salary requires a vote of the Bylaw 55 faculty. Should a subsequent level of review recommend advancement in rank, step or salary on a file where there was no Bylaw 55 vote taken, the file will be returned to the department for a vote on the recommended action.

Faculty below Professor, Step 5 will be required to undergo a merit review at least every five years because such advancement is expected at all steps other than indefinite steps. The exception to this is for faculty at the overlapping step of Associate Professor, Step 4, where the advancement recommendation should follow the policy found in CAPM 407.690, Overlapping Steps.

For faculty at any of the indefinite steps of Professor, Step 5 through Step 9, the candidate may choose whether or not to be considered for merit advancement; in the case of faculty at Step 5 and Step 9, there is also the option to request review for a salary increase only. For information about limitations on salary increases for faculty currently at Professor, Steps 5 and 9, please refer to CAPM 803.620, Off-Scale Salaries. For faculty currently at Above Scale, the candidate may choose whether or not to be considered for a salary increase.

- Negative Outcome of Any Type of Mandatory Review

Any faculty whose mandatory review results in a final decision that is “not positive” (i.e., did not result in advancement in rank, step, or salary for faculty below Professor, Step 5, and/or where performance was deemed less than satisfactory) will meet with the Vice Provost for Academic Affairs—this meeting may also include department chair and/or dean—to discuss the review and develop written improvement measures designed to address the performance deficiencies identified during the course of the mandatory review.

Please direct any questions regarding this revised campus policy to Susan Fellows, Academic Personnel Office, sfellows@ucsc.edu.

Sincerely,



Alison Galloway
Campus Provost and
Executive Vice Chancellor

cc: Chancellor Blumenthal
VPAA Lee
AVC Peterson
Chair Ravelo, Committee on Academic Personnel
Academic Senate Office
Administrative Records Office
APO Analysts
Assistants to Directors
Department and Program Managers
Divisional Academic Personnel Coordinators